

REVIEW OF RECENT ENROLLMENTS: (THROUGH ENROLLEE INTERVIEWS)**WS-MK1**

Name/HI Number	Source of Marketing Lead	Name of Marketing Representative	Did Rep. Explain Lock-in and Other MCO Rules?	What Materials Did Enrollee Receive?	Comments

Standard: 95 percent. See instructions.

Determination: Transfer results from this sample to the appropriate requirements at MK03, and MK05 - MK07 (Prohibited Marketing) of the *Review Guide*.

REVIEW OF RECENT ENROLLMENTS**WS-MK1**

Revised for Final Rule 5/21/01

IV. 1

Requirement: The M+CO must provides prospective Medicare enrollees with adequate written descriptions of the MCO's rules, procedures, benefits, premiums and other charges, services and other information for the beneficiary to make an informed decision about enrollment (42 CFR ~~417.428(a)(1)~~; **422.80(c); 422.111**). The M+CO may not engage in prohibited marketing activities (42 CFR ~~417.428(b)~~ **422.80(e)**, and National Marketing Guidelines (~~9/97~~).

Sample (OPTIONAL): The reviewer should develop a list of the universe from the M+CO's most current *HCFA Monthly Transaction Reply/Monthly Activity Report* listings. From this universe, the reviewer will select a sample of 30 enrollment transactions in accordance with random selection methods discussed in the *Review Guide* Instructions, under Sampling Methodology. (*Note: During focused reviews, HCFA staff may elect to increase sample sizes to 100 cases or more, as deemed appropriate by the Agency.*) Approximately 2 - 3 weeks prior to the site visit, request **that** the M+CO ~~to~~ send **to** the RO the enrollment applications for the ~~9~~ units of analysis. Upon receipt of the enrollment applications, reviewer will call the enrollees.

Purpose: To determine through telephone discussions with recent enrollees, if the M+CO is engaging in prohibited activities and whether marketing presentations provide the prospective enrollee with adequate information on the M+CO's rules and responsibilities. If the phone calls are made prior to the site visit, the reviewer might become aware of other beneficiary perceived problems. These could then be considered in the reviews of the pertinent areas of operation.

Column Explanations:

Name/HI Number: Self-explanatory. Number optional.

Identify the Source of the Marketing Lead: How did the enrollee learn about the M+CO? (Newspaper and television ads, telephone solicitation, referral (from whom?), sales presentation). Was an appointment with the sales representative set up? (Sales agent made call at the beneficiary's home, telephone solicitation). Where did the beneficiary enroll in the M+CO? (In the home, M+CO office).

Name of Marketing Representative: Obtain from the enrollment form or the enrollee.

Did the Representative Explain M+CO Rules, Especially Lock-in? Ask the enrollee the following questions: Are you limited to using certain doctors and hospitals? What do you do if you have an emergency (such as you think you are having a heart attack)? What do you do if you are visiting out-of-state and you get sick and need to see a doctor? What kind of coverage does the M+CO offer? How does the MCO's coverage work? Do you need a Medicare supplement policy? How do you disenroll from the M+CO? Under what circumstances are you expected to disenroll from the M+CO?

What Materials Did the Enrollee Receive? At a minimum, the M+CO must provide a current copy of their evidence of coverage (EOC) that clearly describes Medicare member rights and rules to enrollees at the time of enrollment and annually thereafter. The EOC must include all of the sub-elements described in the MOE following MK03, MK04. If the EOC does not contain all of these sub-elements, the requirement is not met. Transfer results to MK03.

Comments: Self-explanatory.